

TRAINING CHRYSALIS: APPLICATIONS OF SPECIAL FORCES TRAINING IN  
THE DEVELOPMENT OF THE OBJECTIVE FORCE

A thesis presented to the Faculty of the U.S. Army  
Command and General Staff College in partial  
fulfillment of the requirements for the  
degree

MASTER OF MILITARY ART AND SCIENCE  
General Studies

by

WILLIAM BRENDAN WELSH, MAJ, USA  
B.S., U. S. Military Academy, West Point, New York 1989

Fort Leavenworth, Kansas  
2003

Approved for public release; distribution is unlimited.

MASTER OF MILITARY ART AND SCIENCE

THESIS APPROVAL PAGE

Name of Candidate: MAJ William Brendan Welsh

Thesis Title: Training Chrysalis: Applications of Special Forces Training in the Development of the Objective Force

Approved by:

\_\_\_\_\_, Thesis Committee Chairman  
Timothy L. Challans, Ph.D.

\_\_\_\_\_, Member  
Lloyd W. Sherfey, M.A., M.M.A.S.

\_\_\_\_\_, Member  
MAJ(P) William R. L. Coleman, B.A.

Accepted this 6th day of June 2003 by:

\_\_\_\_\_, Director, Graduate Degree Programs  
Philip J. Brookes, Ph.D.

The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

## ABSTRACT

TRAINING CHRYSALIS: APPLICATIONS OF SPECIAL FORCES TRAINING IN THE DEVELOPMENT OF THE OBJECTIVE FORCE, by MAJ William Brendan Welsh, 72 pages

Leaders and soldiers of the Army's future Objective Force will face an ambiguous and dynamic operational environment populated by a ruthless, adaptive enemy. Both the environment and the threat resemble those faced by Special Forces today. Like Special Forces today, the Objective Force will be an intent-centric force that relies upon the judgment and initiative of subordinate leaders and soldiers to formulate and execute values-based decisions on a nonlinear and noncontiguous battlefield. Thus, the central research question is: Does Special Forces training offer possible training solutions to the Objective Force as its training framework and methodology are developed? This examination focuses on three primary steps. The first is an examination and comparison of current Special Forces and future Objective Force operational environments and threats. The second step is an analysis of the performance requirements of the Objective Force, and the third step is the analysis of current Special Forces training. Finally, this examination applies the training solutions developed and validated by Special Forces to the requirements of the Objective Force. This thesis concludes that Special Forces training does offer a departure point for the development of the Objective Force training methodology.

## ACKNOWLEDGMENTS

I gratefully acknowledge the guidance and advisory assistance of my entire research committee, and their flexibility and grace in the face of my abject inability to meet published suspenses. My particular thanks to Dr. Timothy Challans for his assistance in helping me matriculate an inchoate body of ideas into a focused thesis. And I give my eternal gratitude to my wife, Carol Ann, who never faltered in her love, support, and encouragement during this project.

## TABLE OF CONTENTS

	Page
THESIS APPROVAL PAGE .....	ii
ABSTRACT .....	iii
ACKNOWLEDGMENTS .....	iv
ACRONYMS .....	vi
ILLUSTRATIONS AND TABLES .....	viii
CHAPTER	
1. INTRODUCTION .....	1
2. LITERATURE REVIEW .....	14
3. RESEARCH METHODOLOGY .....	31
4. ANALYSIS .....	34
5. CONCLUSIONS AND RECOMMENDATIONS .....	64
REFERENCE LIST .....	70
INITIAL DISTRIBUTION LIST .....	72
CERTIFICATION FOR MMAS DISTRIBUTION STATEMENT.....	73

## ACRONYMS

C4ISR	Command, Control, Communications, Computers and Intelligence, Surveillance, and Reconnaissance
CoC	Code of Conduct
CD-ROM	Compact Disk, Read-Only-Memory
COE	Contemporary Operating Environment
DA	Department of the Army
EAI	Executive Agent Instruction
FCS	Future Combat System
FTX	Field Training Exercise
G-chief	Guerrilla Chief, leader of an indigenous paramilitary organization
Gs	Guerrillas
JCS	Joint Chiefs of Staff
JP	Joint Publication
JRTC	Joint Rotation Training Center
MNS	Mission Needs Statement
MOS	Military Occupational Specialty
NSS	National Security Strategy
NTC	National Training Center
OF	Objective Force
OFTF	Objective Force Task Force
O & O	Operational and Organizational Plan
PCS	Permanent Change of Station
POI	Program of Instruction

SERE	Survival, Evasion, Resistance, and Escape
SF	Special Forces
SFAS	Special Forces Assessment and Selection
SFOD-A	Special Forces Operational Detachment-Alpha
SFQC	Special Forces Qualification Course
SOF	Special Operations Forces
SWCS	Special Warfare Center and School
USAJFKSWCS	United States Army John F. Kennedy Special Warfare Center and School
TRADOC	Training and Doctrine Command
UA	Unit of Action
UE	Unit of Employment
UTM	Universal Transverse Mercator
UW	Unconventional Warfare
WMD	Weapons of Mass Destruction

ILLUSTRATIONS AND TABLES

Figure	Page
1. The Objective Force Soldier Model.....	21
2. The Objective Force Leader Model.....	21

TABLE

Table	
1. Comparative Martial Values.....	42



## CHAPTER 1

### INTRODUCTION

The Army is currently committed to developing the Objective Force (OF) in order to match Army capabilities and employment to the emerging realities of post-Cold War requirements and the emerging nature of contemporary conflict. The OF will leverage new and as yet nascent technologies to respond quickly to situations spanning the operational continuum. However, the key to success in mission accomplishment will remain the soldier. The Army has drawn from the Army values the key attributes that the OF soldiers and leaders will need to prosecute their missions on tomorrow's battlefields. As it ponders how to instill in its OF soldiers and leaders these values and attributes, the Army should incorporate training methods employed by Special Operations Forces in general and Army Special Forces in particular. This thesis will examine the training and education utilized by Special Forces to imbue its soldiers with its organizational values and culture and to develop those individual attributes required to operate in an environment and manner much like that envisioned for the OF.

The Army plans to forge the OF culture by melding the disparate cultures of the three distinct types of forces defined by Army doctrine: heavy, light, and special operations. From the special operations community, the Army wishes to emulate the "close combat specialists who are the best in the world at urban and night operations" (Department of the Army [DA] 2002, 20). Should the Army relegate the impact of special operations skill and training to this narrow subset of special operations tactics, techniques, and procedures, it will do itself, its soldiers, and the nation a disservice.

The Army expects to employ the OF across the full spectrum of operations against adversaries who will rely on surprise, deception, and asymmetric warfare. The Army acknowledges that the “quality, maturity, experience, and intellectual development of Army leaders and Soldiers become even more critical in handling the broader range of simultaneous missions in this complex operational environment” (DA 2002, 3). As it looks to build the leaders and soldiers that can fulfill this mandate, the Army should evaluate the Special Forces’ training that has successfully produced soldiers that possess these same attributes.

There is a danger, as the Army acquires, adapts, and integrates new technologies into the arsenal of the OF, that the training and education of the new force will be centered on mastering and applying these new capabilities. While training to increase technical and tactical proficiency will continue to be an operational necessity, the ability to seize and retain the initiative in prosecuting the mission will depend on the values of the soldiers on the ground and on their ability to make correct, snap judgments on ambiguous, nonlinear, and noncontiguous battlefields.

### The Objective Force

The Army is currently building the OF. The process of changing into the OF is called the Army Transformation. However, the Army has always been in a continual process of change, trying to forecast and balance resources, doctrine, training, and new technology in order to array itself properly for the next generation’s battlefield, as with Force XXI and the Army After Next. Encapsulating the process under the rubric of “Army Transformation,” however, portends that the Army is trying to effect a revolutionary, as opposed to evolutionary, change. Indeed, “the hallmarks of OF

operations will be developing situations out of contact; maneuvering to positions of advantage; engaging enemy forces beyond the range of their weapons; destroying them with precision fires and maneuver; and tactically assaulting enemy capabilities or locations at times and places of our choosing” (DA 2002, v). The OF will be agile enough to deploy worldwide in a very short amount of time, and will so leverage new and emergent technologies that the newer, faster, and lighter Army battle platforms will still have greater lethality and survivability than current systems. The information revolution will be harnessed to the extent that the Army now considers information to be an element of combat power. The array of user-friendly informational and combat systems will allow the Army to combine battlefield specialties, reducing the number of military occupational specialties (MOS) in the combat arms, combat support, and combat service support functional areas.

The OF will have so many robust capabilities that operations will transition from plan-centric to intent-centric; the detailed operations orders upon which tactical units currently rely for the synchronization of combat power will be replaced with simply the commander’s intent, with the burden currently borne by the staff minimized, accelerated and performed by information systems. So adamant is the intent to force a revolutionary change that the end state of the OF has not yet been defined. Instead, the Army is forging ahead and relying on industry to develop the nascent, sometimes even still-conceptual, technologies that will provide the envisioned capabilities. The Army senior leaders are personally invested in and forcing this change, reducing, even halving, the usual acquisition timeline for Army procurement for many of the interim products that will pave the way for transformation.

However, in the operating environments of conflicts today and in the foreseeable future, technology will not provide the single silver bullet that will win the nation's wars. The Army, as ever, will need leaders and soldiers trained and ready to face the current nature of conflict, and technology will only aid them in fulfilling their missions.

#### Nature of Conflict

The roots of the American way of war can be traced back to the ancient Greek societies that spawned the western, liberal style of democracy. The same values relative to individual conduct and the relationship between the individual and the state that are enshrined in America's constitution lead to the way Americans view, and prefer to fight, their wars. The American preference for fighting on a linear, contiguous battlefield descends from the lines of hoplites clashing in Hellenic valleys, pushing and fighting until one line broke and the other won the day (Hanson 2001,23).

The wars that Americans herald as benchmarks and turning points of their history followed this Hellenistic paradigm: massed citizen soldiers striving against a monolithic, often demonized enemy that was not only a threat to American security as a state, but was also anathema to its ideals and values. Wars in which the clear-cut defense of both the United States' security and values were not both at stake are often forgotten, as with the myriad American interventions in the Caribbean and South America, or vilified, as in case of Vietnam.

With the fall of the Soviet Union, the rise of nationalism and radical Islam, and the fierce competition between newly formed splinter states for scarce national resources, the enemies, adversaries, and competitors arrayed against the United States will present themselves as anything but a monolithic bloc. The current world array of struggling,

failing, and rogue states will present the Army and its civilian masters a panoply of crises and problems, each requiring a tailor-made solution and each involving different measures of the application of both violence and restraint. The true challenge to the Army now and the OF in the future will not only be the mechanics of the politico-military puzzles with which they are presented, but the nature and values of the men creating them. These men do not and will not share western values, are not hampered by ethics surrounding the conduct of war, and do not possess scruples over discriminating between combatants and civilians. Otto von Bismarck could have been referring to September 11, 2001, when he said, “we live in a wondrous time in which the strong is weak because of his moral scruples and the weak grows strong because of his audacity” (Applegate 2001, 4). The Army’s true test, then, will be to defeat America’s enemies while remaining true to American values.

None of the forces arrayed against the U.S. now or in the foreseeable future have the ability to even hope to compete militarily with the United States on a linear, contiguous battlefield. Instead, actual and potential enemies will attempt to apply their capabilities against the U.S. asymmetrically; they will attack those least able to defend themselves with weapons that designed to inspire terror and produce mass casualties. As President Bush said in his introduction of the 2002 *National Security Strategy*, “shadowy networks of individuals can bring great chaos and suffering to our shores for less than it costs to purchase a single tank” (*National Security Strategy* 2002, Preface). In future conflicts, civilians will be targeted before soldiers, support troops targeted before combat arms, and combat arms troops, if the enemy has his way, will never have the opportunity to engage him in decisive action. The linear, contiguous battlefield on which Army

doctrine, training, leadership, organization, and manning are focused will not appear, and instead soldiers will find themselves in ambiguous, amorphous situations in which friendly, neutral, and enemy parties are not discernable. The mechanic will face a greater danger than the infantryman, and the civilian greater than the mechanic.

The last time America fought a war in which the enemy turned the conflict from a clash of arms to a battle of wills and asymmetrically applied his military options , was in Vietnam, and the Army was reluctant to adapt. As one senior officer, speaking about Vietnam said, “I’ll be damned if I permit the United States Army, its institutions, its doctrine, and its traditions to be destroyed just to win this lousy war” (Applegate 2001, 7). The Army has now realized that it must face the asymmetric, unorthodox, and unconventional manifestation of will that America’s enemies will produce, and is creating the OF.

While the increased technological sophistication under the Transformation rubric would provide the Army a decisive advantage on a linear, contiguous battlefield, in the unconventional and unorthodox conflicts of tomorrow, success or failure will reside within the values and moral acumen of the soldier. Target acquisition may eventually fall wholly into the realm of technology, but target determination and discrimination will more and more rely on snap judgments made by soldiers. The decision to employ lethal force--or to exercise restraint--will have to be made by young soldiers in a fraction of a second. Second guesses, doubt, or hesitation either way could prove a terminal mistake for the soldier, his unit, and the national interest.

In order to be functionally sound and reliable, the Army must train the members of the OF in the physical, mental, and moral dimensions. The physical tactical and

technical training ensure that the soldier will perform his individual tasks by rote, regardless of the environment or battlefield conditions, and that the small unit performs its collective tasks almost as a single organism. Mental training and development will allow soldiers and leaders to analyze, process, and manipulate to their advantage the vast quantity of stored and real-time information that technology will provide them and will translate the resulting intelligence into the appropriate battle tasks. But it is the inculcation of values and moral development that will give soldiers the decisive edge they will need in future conflicts. Only when the commander knows that his soldiers have internalized and gained a facility with the Army values and ethos can his operations shift from plan-centric to intent-centric. As a departure point for examining values-based training, the Army should look at Special Forces (SF) and the unique training they undergo.

SF has forged the path in transformational values-based training because they already operate in the environment and against the threat, envisioned by the OF planners. SF operators are specially organized, trained and equipped to “achieve military, political, economic, or informational objectives by unconventional military means in hostile, denied, or politically sensitive areas” (Joint Chiefs of Staff (JCS) 1998, I-1). SF has trained its forces to act effectively across the full range of military operations, but acknowledges the amorphous ambiguity of real world operations, and the need to transition smoothly, quickly, and effectively between operational states because, while “the states within the range of military operations describes each in discrete terms, in actual circumstances there may be no precise distinctions where a particular state ends and another begins” (JCS 1998, I-2). The need to forge a force of small-sized, self-sufficient

units that can act independently in any environment (and quickly changing environments) and apply their combat skills with “adaptability, improvisation, innovation, and self-reliance” (JCS 1998, I-3) has led to a training program that instills the goals and values of the institution into the individual soldier, and transforms that individual so that his membership in his unit is indelibly intertwined with his own personal identity. While some special operations missions rely exclusively on detailed planning, such as Special Reconnaissance and Direct Action, the SF performance of Unconventional Warfare, Counterinsurgency, and Foreign Internal Defense is almost completely intent-centric, due to the incredible number of variables upon which mission accomplishment depends. Within Army Special Operations forces, no element receives more intense or extended training in the physical, mental, or moral dimension than Special Forces.

The following is a descriptive outline of SF initial and qualification training. It does not detail the SF values and attributes developmental training that the Army should take from Special Forces, but is instead intended to provide the reader with the framework of the course in which such training takes place.

Special Forces are selected, assessed, and trained in the Special Forces Qualification Course (SFQC). Depending on MOS, the SFQC can take up to two years for a soldier to complete. Although timelines differ according to MOS, all soldiers follow six phases of training for the Qualification Course.

The first phase of SFQC is Special Forces Assessment and Selection (SFAS). Special Forces candidates are put through a grueling six-week evaluation to determine if they have the potential to pass the SFQC and become a member of Special Forces. During the course of SFAS, candidates are tested and evaluated to determine if they have



the requisite mental, physical, and character attributes to succeed within Special Forces. However, candidates are not tested according to the Army model of task, conditions, and standard. Instead, candidates are only given the task, or a part of the task, and evaluated on how they adapt to the situation, decision making, judgment, and the teamwork they demonstrate during the course of the assigned task. At the end of the SFAS iteration, students are merely told whether they have been selected to attend Special Forces training.

SFAS has standards that must be met by each candidate; however, those standards are confidential, and are known only by the SFAS company commander, his first sergeant, the SWCS commanding general, and his sergeant major. Upon being selected for Special Forces, successful candidates are assigned a permanent change of station to Fort Bragg, North Carolina, to begin Phase II of the SFQC.

Phase II consists of training and evaluation in land navigation and small unit tactics. The land navigation course, called the “star,” is a ten-hour land navigation course conducted in the wilds of the Hoffman Wildlife Refuge, North Carolina. Students receive approximately one week of classroom instruction and land navigation practical exercises before executing the course. As well as overtly developing tactical skills that will be valuable once the students reach their operational groups, land navigation is a tool for evaluating and developing student decision making and judgment while students are under physical and mental duress. Students are trucked out to their respective starting points during the day, and are allowed to prepare their equipment and rest until nightfall. Between 2400 and 0200 (season dependant), the students are issued their current Universal Transverse Mercator grid locations and the location of their next points and

launched onto the course. Upon successfully navigating to his first point, the student is issued his next point by an instructor. The time allocated for the course is short, considering the terrain that must be traversed, and the students are forbidden from using roads, bridges, trails, or firebreaks. SF instructors perform “road-hawk” duties, riding all-terrain vehicles, bicycles, and even horses to get observation on natural choke points where students will be tempted to violate the course rules. Students who are caught using roads, bridges, or trails or who communicate in any way with other students automatically fail the course, retrain the next night, and are given another chance at the course the night after. Students have three chances to pass the course.

The small unit tactics component of Phase II is similar in content (but not in length of time) to Ranger school. The purpose is to give students coming from every part of the Army a foundation in squad and platoon tactics. The tactics are infantry-based, as the students have not yet acquired the Special Forces-particular skills that differentiate a Special Forces Operational Detachment-Alpha (SFOD-A) from an infantry squad. As with Ranger School, students are evaluated on their ability to analyze their environment and the threat, adapt their tactics to the situation at hand, and work, under physical, mental, and emotional duress, as part of a team. Also, as part of Phase II, students are introduced to Advanced Marksmanship in the SF standard M-4 carbine and the M-9 pistol. This training bridges the gap between Basic Rifle Marksmanship the soldiers receive from the Army and the close quarters battle skills the soldiers will be expected to master once they reach their operational groups.

Phase III is the Special Forces specialty training that will provide each student with the skills he needs to function within his MOS as a member of an SFOD-A. The SF

particular MOSs are the Special Forces officer, weapons sergeant, engineer and demolitions sergeant, the Special Forces medic, and the Special Forces communications sergeant. Later in their careers, SF NCOs will progress to the MOSs of 18F, Special Forces assistant operations and intelligence sergeant, and 18Z, the Special Forces operations sergeant, who is informally known as the team sergeant, and is the ranking enlisted member of the SFOD-A. Also, during the course of Phase III, the students begin cross training in the other MOS skills, so that they can fulfill the roles of other members, at a basic level of competency, to make the team itself more adaptable and versatile.

Upon becoming individually MOS-qualified, the students enter Phase IV, where they will learn and apply the lessons of unconventional warfare (UW), the primary SF mission. Students learn the history of UW, the doctrine of UW, and participation of United States Special Operations in UW throughout its history. After preliminary UW training, the students participate in the Robin Sage exercise, the capstone event of the qualification course, in which they are inserted into the fictitious country of Pineland, to help a band of insurgents overthrow a repressive regime. Each student team is responsible for training, organizing, equipping, and leading their guerrilla band in an unconventional environment.

Upon completion of Phase IV, students progress to language school. Because of the regional orientation of all of the Special Forces groups, language training receives particular emphasis during the SF pipeline. Having already been slated for operational group assignments, students are assigned a language prevalent in the area in which they will operate. Obtaining a language rating is a prerequisite for the students before they can graduate from the SFQC.

Phase VI of the SFQC is the U.S. Army Survival, Evasion, Resistance, and Escape High-Risk Level C School (SERE). SERE School trains soldiers designated as High Risk of Capture/High Risk of Exploitation to adhere to the Code of Conduct when they have to survive when isolated from their unit and friendly forces, evade capture by enemy forces, resist exploitation when they are captured, and make every effort to escape during wartime. The soldiers are trained to keep the faith with their country, the Army, their comrades, and themselves. Because of their missions and employment, all Special Forces soldiers are considered High Risk of Capture/High Risk of Exploitation.

Every individual soldier, sailor, airman, and marine is bound to the Code of Conduct. The Code applies not only when in captivity, but when the servicemen is separated from his or her unit and is in a survival situation, when evading capture, and when attempting to escape captivity. In order to better train Armed Forces personnel to abide by the Code of Conduct, each service has established Survival, Evasion, Resistance, and Escape (SERE) schools.

The John F. Kennedy Special Warfare Center and School (SWCS) at Fort Bragg, North Carolina runs the Army's SERE Level C School. The Army began trying to establish this school in 1981 and graduated its first class in 1986.

The US Army SERE School executes a 19-day Program of Instruction for Wartime, Level C SERE. This is the longest SERE school within the Department of Defense. The instruction, while meeting all DoD Executive Agent Instruction criteria, is specifically designed to support skill sets required by Special Forces soldiers.

SERE School is of particular interest to this investigation because there students learn to analyze, internalize, and deconflict the precepts of the Code of Conduct, and to

always act in its spirit, even if adherence to the letter of the Code proves impossible.

Also, SERE is considered the most sophisticated values training within the Special Forces training regimen. Prior to the codification of the Army values in 1998, the Code of Conduct, introduced to the Armed Forces in 1953, was held up as a model to the Army of how to “promulgate a code and to install mechanisms to support its observance” (Gabriel 1982, 211). SERE training does for the Code of Conduct what the Army needs to do for its values: an organizational code of behavior is instilled in its students, who depart the training with the knowledge, the will, and the commitment to apply the Code in all that they do.

Upon completion of SERE School, students receive the permanent change of station (PCS) that assigns them to their operational groups. Special Forces considers them entry-level qualified to join SFOD-As and to participate in all of the SF missions. More importantly, the soldiers have been socialized to the SF culture, have internalized its values and now identify with themselves as Green Berets. The molding of these soldiers into members of the organization, who believe in its ethic and are committed to its missions, is a process from which the Army can learn much as it builds its OF.

Like the Special Forces of today, the Objective Force of tomorrow will operate in ambiguous environments, against enemies who will attack asymmetrically in order to counter U.S. military superiority. Technical acumen and tactical skill will only be effective if the soldier on the ground can make split-second, values-based decisions during missions that have a political, economic, or informational dimension. The ways and means employed by Special Forces in order to create this type of soldier offers the OF planners a successful course of action.

## CHAPTER 2

### LITERATURE REVIEW

#### Introduction

The Army's Objective Force Task Force (OFTF) is the organization charged with the development of the OF and its Future Combat Systems (FCS). As such, the OFTF is responsible for providing the holistic roadmap towards the OF, proofing and testing the concepts and requirements necessary to begin developing the OF and all of its equipment, and for providing the detailed vision of the conduct and employment of the OF in all dimensions of the spectrum of conflict.

The OFTF has developed and issued a CD-ROM that contains all of the references required to begin building the OF. These references are required by the Army Force Management System for all new endeavors, and thus follow the format of all other Army research, development, testing, evaluation, requisition, and acquisition activities. The references available in the CD-ROM contain the FCS concepts and requirements documents, which include: the *National Security Strategy*; *The Army Vision*; *The Objective Force White Paper*; *FCS Mission Needs Statement (MNS)*; *FCS Mission Area Analysis*; *Mission Needs Analysis*; *Unit of Action O&O*; and the *FCS Operational Requirements Document*. The Objective Force Enabling Concepts are also included on the CD-ROM, which are: TP 525-3-92, *The Unit of Employment Concept Draft*, *Objective Force Battle Command Concept Draft*, TP 525-4-0, *Maneuver Sustainment Concept Draft*, TP 525-3-25, *Maneuver Support Concept Draft* slides; the *Power*

*Projection White Paper Draft, TP 525-66 Objective Force Capabilities Draft, and The Army National Missile Defense and Air and Missile Defense Concepts Draft.*

This body of work describes the power projection, employment, command and control, maneuver, and sustainment concepts envisioned for the OF. Beginning with the *National Security Strategy*, these documents track the formulation of the Army's future requirements, and the proposed solutions that are embodied in the OF.

The OF is the conceptual unit toward which the Army is working in order to meet the future needs of the nation. After proving itself unable to meet contemporary American security needs because it is too heavy and unwieldy, the Army is trying to become quicker and more deployable by building the OF.

The Army's modern dilemma has been the choosing between speed and security. This conundrum was solved, at the tactical level, by the advent of the M-1 Abrams tank and the M-2 Bradley fighting vehicle. These two primary fighting vehicles have given tactical units the ability to blast across open terrain with great speed while providing a large volume of accurate fires and unheralded survivability. But the sheer tonnage of these vehicles, designed to maximize tactical maneuverability, firepower, and protection, has hobbled the Army's ability to respond to crises at the operational and strategic level. When the primary threat to and focus of the Army was fighting the Warsaw Pact on the plains of central Europe, the Army compensated for the strategic immobility of these vehicles by pre-positioning its combat platforms in Western Europe. The Army then planned on using light and SOF to give itself the flexibility to respond to small-scale contingencies and military "brush-fire" operations. However, after traveling down this trifurcated path, the Army has found that, with regard to current and future needs, its

heavy forces are too heavy and its light forces too light; Army SOF is too specialized and does not possess the depth to compensate for its mobility and effectiveness.

### Why Transform

The Army is charged with playing a critical role in meeting four major policy goals delineated in the *National Military Strategy* and the *Defense Planning Guidance*. The goals are: assuring allies of U.S. national resolve and military capability; dissuading adversaries; deterring aggression and countering coercion; and decisively defeating an adversary at the time, place and in a manner of the nation's choosing (United States Army Training and Doctrine Command 2002, 6). As mandated by *Joint Vision 2010*, the Army must participate in these tasks by conducting operations as part of a joint, multi-national, and interagency team while fulfilling its enduring responsibility to "control the terrain on which populations and political authorities reside, and defeat opponents in their protective sanctuaries or force them into the open where they can be destroyed with joint effects" (United States Army Training and Doctrine Command 2002, 6).

*The Army Vision* mandates that, in order to meet its responsibility in the future Operational Environment, the Army must be a "more strategically responsive, deployable, agile, versatile, lethal, survivable, and sustainable force, effective in all situations from major combat operations to homeland security" (United States Army Training and Doctrine Command 2002, 7). The Army envisions the OF as the force that will maximize these seven characteristics by combining the strengths of all the current ground combat formations and by using technology to overcome the inherent weaknesses of current ground forces.



The Army today is configured to present nine ground combat formations. They are the Special Forces groups and the Ranger Regiment; Airborne; light infantry; the Stryker brigade; heavy forces comprised of mechanized infantry, armor, and armored cavalry; and air assault formations. These different formations are configured to meet the entire range of threat and all possible environments. However, each configuration has trade-offs. While light forces are highly deployable and responsive, they lack firepower, tactical mobility, and sustainability. Heavy forces have firepower, tactical mobility, and survivability, but are strategically ponderous unless Army preposition stocks are on hand, require a large logistical footprint, and are unsuitable for some austere environments. The OF will embody all of these formations' strengths and use technology to overcome all of their weaknesses (less the capabilities of Special Forces, the Rangers, and airborne forces).

#### Why the Unit of Action

The OF will have two hierarchical formations. The Unit of Employment (UE) will be a division- and corps-like element that will focus on the strategic and operational levels of war. The Unit of Action (UA) will function like a current brigade, but will be able to command and control up to six maneuver battalions. The UE fights battles; the UA "orchestrates multiple engagements to win battles" (United States Army Training and Doctrine Command, 2002, 12). The UA will be strategically agile enough to deploy within ninety-six hours, yet have the ability to conduct continuous operations for the duration of the campaign.

The concept of the OF is predicated on two major assumptions, which are that the acquisition community will be able to deliver technologies commensurate with the

envisioned capabilities of the OF and that the joint community will enable the OF with the external assets it needs to deploy, fight and sustain itself. These technologies will allow the Army to abandon the hard choices between strategic agility and sustainability versus lethality, speed, and survivability.

This technology compensation will allow the OF to fight across the wide range of conflict situations, from the high to the low end of the spectrum of conflict. The Army has factored the wide range of critical variables into its battle calculus that will mark the future operational environment. In sum, the Army expects to fight nonlinear, noncontiguous engagements in highly complex, often urban, terrain in all weather conditions with the world media looking over its shoulder. In order to allow the OF to fight and win in this dynamic environment, the Army is going to force a revolutionary leap ahead in the current generations of war-fighting and informational technologies.

#### Quality of Firsts

The revolutionary design of the OF will mean that its fighting teams will operate under a “new tactical paradigm based on the quality of firsts--the capability of the Objective Force units to *see first, understand first, act first, and finish decisively*” (United States Army Training and Doctrine Command 2002, 51).

In order to see first, OF units will have technological aids to provide them with comprehensive, real-time situational awareness. OF units will know the status and location of friendly forces, the location, intent, and capabilities of enemy forces, and will be able to forecast upcoming terrain and environmental variables. By denying the enemy the same information with an effective counterreconnaissance effort, OF units will be able to get inside the enemy’s decision cycle and to stay there.

With comprehensive, real-time situational awareness, the OF will be able to meld terrain, operational concepts, schemes of maneuver, centers of gravity, decisive points, and vulnerabilities into the common operations picture. The OF will maintain this understanding before, during, and after tactical engagements. This real-time understanding of battlespace and the enemy will allow the OF to be particular and precise in applying fires and force when and where they will offer the maximum tactical advantage in starting and finishing engagements. This ability to see and understand first, will allow the OF to act first upon a confused and demoralized enemy who finds his centers of gravity exploited or destroyed before he can preserve them.

The OF will finish decisively by

Closing with and destroying enemy when forces are joined by: 1) bounding overwatch under contact, 2) fires at standoff and movement not in contact, 3) fire and maneuver, 4) and tactical assault against all threats in any terrain and weather conditions. Closing with and destroying includes any form of lethality to engage an enemy with LOS, BLOS and NLOS [Line of Sight, Beyond Line of Sight, and Non-Line of Sight] fires when under observation by an adversary and in contact. Finishing decisively also requires the capability to rapidly exploit success. For example the UA is expected to follow through the assault without tactical pause to complete the enemy's destruction by exploitation and pursuit. (United States Army Training and Doctrine Command 2002, 52)

TRADOC PAM 525-3-90, O&O, 20 July 2002 draft, provides a "how-to-fight" framework for the OF that details the phases of OF operations to include entry operations, actions before forces are joined, actions during contact, the tactical assault, and transitions between operations. The PAM also provides illustrations of its employment concept for the OF in various terrain sets and conflict intensities, narrating the actions of the OF in different operations and environments. These operational illustrations detail how the OF will maximize the seven critical characteristics of responsiveness, deployability, agility, versatility, lethality, survivability, and

sustainability against various threats and in disparate environments, and use the maximization to ensure clean, almost transparent transitions between operations and environments.

### Doctrine, Training, and Leader Development Implications

Employment of the OF, and its echeloned formations of the UE and the UA, has significant implications for doctrine, training, and leader development. These areas have always been critical to the Army's war-fighting effectiveness, but in the OF they will have increased import. The Army acknowledges, "we must reevaluate our business practices to produce a clear road map for accomplishing the changes required in these areas" (United States Army Training and Doctrine Command 2002, 120). The vagaries of the contemporary and future operational environment, the nature of the threat, and the technology-based, net-centric operations of the OF necessitate greater competency in leaders, competency of unit, competencies of teams, and soldier and leader skill proficiencies. Future leaders of the OF must be "skilled in synchronization and coordination, able to dominate in the realm of tactical decision-making, and be combat proficient at the collective level" (United States Army Training and Doctrine Command 2002, 120).

The OF has, using the Army values as a base, developed the characteristics, competencies, and actions that will be required of OF soldiers and leaders. Figure 1, the Soldier model, and figure 2, the Leadership framework, outline the values and characteristics that the OF leaders and Soldiers will need to possess and the actions they will need to perform in order for the OF to succeed.

### The Objective Force Soldier Model

Values	Characteristics		Actions
Loyalty	Warrior Ethos	Dominates situations	<u>Operating</u>
Duty	Self disciplined	Deployable mindset	-See first
Respect	Active Team Member	Self Reliant	-Understand first
Selfless Service	Proactive	Adaptive Learner	-Act first
Honor	Physically &	Decisive	-Finish Decisively
Integrity	Mentally tough	Sound Judgment	<u>Interacting</u>
Personal Courage	Self-Motivated	Versatile	- Listen
	Confident	Expert in Warfighting and in the use of Emerging Technology	- Speak
	Leader Potential		- Network
	Disciplined initiative		<u>Improving</u>
	Self Aware		-Learn
			-Grow
			-Achieve

Figure 1. The Objective Force Soldier Model. *Source:* United States Army Command and General Staff College Center for Army Leadership 2002, 1.

### The Objective Force Leader Framework


Values	Competencies	Actions
Loyalty		<u>Operating</u>
Duty		-See first
Respect		-Understand first
Selfless Service		-Act first
Honor		-Finish Decisively
Integrity		<u>Interacting</u>
Personal Courage		- Listen
		- Speak
		- Network
		<u>Improving</u>
		-Learn
		-Grow
		-Achieve

Figure 2. The Objective Force Leader Framework. *Source:* United States Army Command and General Staff College Center for Army Leadership 2002, 2.

The Army is still figuring out the details of how to produce soldiers and leaders who possess the required competencies and characteristics. The process “requires a revolutionary and dynamic training and leader development model producing leaders

who are confident to lead and train organizations composed of Army, joint, and multinational elements” (United States Army Training and Doctrine Command 2002, 123). The training model must not only produce operators who are tactically and technically proficient, but also “emphasize the growth of character and fitness for all leaders” (United States Army Training and Doctrine Command 2002, 124). Performance oriented training must help soldiers and leaders hone their core competencies and provide robust enough feedback that the troops truly gain skills that can be applied in accordance with the Army values in any situation. The OF will have virtual and experiential training mechanisms embedded throughout the force. These embedded trainers will allow commanders to train their troops consistently and uniformly, whether they are in garrison or in the field or are deployed.

The three dominant goals of soldier and leader development will be: (1) To instill the mental agility and versatility required to master transitions across the full spectrum of operations, (2) to develop Soldiers as warriors with common baseline of values, fieldcraft, discipline, and ability to employ emerging combat systems, and (3) to accommodate uncertainty, and to foster a culture of disciplined initiative, teamwork, determination, sacrifice and self-reliance. “By far the most important design requirement of the Objective Force UA will be the development of adaptive Soldiers, leaders, and units” (United States Army Training and Doctrine Command 2002, 132). Because of the net-centric nature of the OF, leaders and soldiers must be trained and competent enough to exercise uncommon initiative on the basis of mission orders and intent. Leaders must be able to act decisively in five-dimensional battlespace composed of the physical, human, and temporal dimensions. Effective leadership in the OF must produce “wisdom

of action” based on “insight, foresight, instincts, inspiration, and innovation” (United States Army Training and Doctrine Command 2002, 133).

The OF will make every endeavor to engender life-long leader learning and development. Classroom tools will facilitate the effort, and information technology will allow the Army to provide its soldiers and leaders with high-technology battle books, on-line products, knowledge reachback services and support, and knowledge outreach. Experiential learning, coaching, mentoring, and advisory support will be both actual and virtual. A hierarchy of self-development programs will enable advanced, specialized, and emergent areas of expertise. These are the underpinnings of an as yet undefined system that will imbue soldiers and leaders with characteristics and competencies which, stemming from the Army values, will enable success on tomorrow’s battlefields.

#### FM 22-100, *Army Leadership*

FM 22-100, *Army Leadership* is the capstone leadership manual for the Army. It establishes the fundamental principles by which Army leaders are expected to accomplish the mission and to take care of their people. As the Army is a values-based institution, FM 22-100 codifies the Army values, establishes the linkage between those values and the character required of soldiers, and provides an ethical reasoning framework by which Army personnel can adhere to the Army values in carrying out their duties.

#### Values

The Army values, codified in FM 22-100, are loyalty, duty, respect, selfless service, honor, integrity, and personnel courage. They provide the foundation for the character necessary to serve in the nation’s Army. These values are the precepts necessary to carry out the Army’s missions and tasks in the manner required by the

United States. Army values are at the core of the Army as an organization, they “remind us and tell the rest of the world--the civilian government we serve, the nation we protect, even our enemies--who we are and what we stand for” (DA 1999, 2-2). All decisions and actions performed by commanders, leaders, and soldiers should stem from the Army values. Individual values “are enduring beliefs about our life goals and to the ways that we attain those goals” (Department of Behavioral Science and Leadership 1987, 2-14). The Army values provide the diverse population of the Army with a common set of standards to employ when meeting organizational goals. Values and attributes determine character.

#### Attributes

Attributes are fundamental qualities and characteristics. Attributes fall into three dimensions: mental, physical, and emotional. Army personnel must have the requisite attributes to gain and maintain tactical and technical proficiency, and to employ that proficiency on the field of battle. While some attributes, like height, cannot be changed others are mutable. It is the soldier and leader’s responsibility to work to develop and strengthen the attributes required to perform his duty throughout his career. The mental attributes of an Army leader include: will, self-discipline, initiative, judgment, self-confidence, intelligence, and cultural awareness. The Army’s physical attributes required of a leader are health and physical fitness and military and professional bearing. The emotional attributes required of an Army leader are self-control, balance, and stability.

#### Character

An individual’s character is made up of values and attributes. Character is required of Army personnel that they may know and do what is right, all the time and at



whatever the cost. Army leaders and subordinates are charged to foster character development. Leaders teach values, reinforce values, and shape the ethical climate. Subordinates learn the culture, comply with the Army values and mores, and finally internalize the Army values. FM 22-100 tasks Army leaders to develop their subordinates' understanding of and commitment to the Army values and character development through classroom instruction, informal discussions, one-on-one coaching, and formal developmental counseling. Developing personal and leadership character is a career-long process, and while each individual is responsible for his own character development, leaders are charged with encouraging, observing, and evaluating the progress of their subordinates while developing themselves through "continual study, reflection, experience, and feedback" (DA 1999, E-2).

#### Warrior Ethos

Continual character development and internalization of the Army values leads the soldier to adopting and living by the Warrior Ethos. While FM 22-100 does not explicitly define the Warrior Ethos, it does state that it is composed of "the professional attitudes and beliefs that characterize the American soldier" (DA 1999, 2-21). The Warrior Ethos is the absolute determination to complete the mission, overcoming fear, adversity, and fatigue. Leaders and soldiers work to develop their character and internalize the Army values in order to foster the Warrior Ethos.

#### Technology and Leadership

Under the chapter "The Human Dimension," FM 22-100 deals with the impact of technology on leadership and operations under the sub-heading "The Stress of Change." The Army recognizes the dual dilemma that faces leaders today. The first is the amount

of technology that the Army leader and soldier must master in order to operate on today's battlefield. The second is the rate of change of that technology. Professional mastery of the technological tools is transitory due to the rate of change of those tools, and the management and employment of those tools will present constant challenges to the Army leader.

FM 22-100 delineates three major leadership challenges in dealing with technology. The first is to understand the strengths and weaknesses of each of the different technologies at the leader and his unit's disposal. The second is the issue of interoperability between units of varying technological advancement. The third challenge is the greater speed at which leaders will have to gather, analyze, and act on information provided by the Army's technologies. The manual admonishes the leader that, whatever benefits technology provides the Army, it is still the soldier that will win our battles.

#### Climate and Culture

Soldiers cannot attain the skills and ethos that they need to fight and win unless their organization maintains the appropriate climate and culture to foster development of the Warrior Ethos. Climate is the way that soldiers feel about their unit; culture is the environment of the Army and of major elements or communities within it.

It is incumbent upon commanders to ensure that they establish the climate of their respective organizations, so that soldiers and leaders are encouraged and motivated to continue their character development in accordance with organizational goals and missions.

Establishing an ethical climate and having a positive culture is not enough. Even within a fundamentally ethical organization, leaders and soldiers will experience conflicts

and dilemmas. FM 22-100 provides a template for ethical reasoning that will allow the individual to resolve ethical and moral dilemmas and conflicts in accordance with the Army values. The four step ethical reasoning template consists of: (1) define the problem, (2) know the relevant rules, (3) develop and evaluate courses of action, and (4) choose the course of action that best represents Army values.

#### Summary of FM 22-100

FM 22-100, *Army Leadership*, is the Army's capstone leadership document. As the Army is inextricably linked to leadership at all levels, the manual also establishes and defines the Army values; codifies the mental, physical, and emotional attributes required of soldiers and leaders; and provides the linkage from attributes and values to character and character development. The manual emphasizes the impact of organizational culture and climate on individual ethical standards. The manual provides a primer on the development of the Warrior Ethos, which will allow soldiers emerge successful from the crucible of combat.

#### Special Forces Doctrine

Special Forces assessed, selected, and trained to operate in small units across the spectrum of conflict. The Special Forces missions are unconventional warfare, foreign internal defense, direct action, special reconnaissance, combatting terrorism, counterproliferation, and information operations. The collateral activities in which SF may participate are coalition support, combat search and rescue, counterdrug activities, humanitarian demining activities, foreign humanitarian assistance, stability assistance, and special activities. SF tactical missions often have strategic or operational import. The core SF mission is unconventional warfare, under the umbrella of which all other

missions reside. SF operates in a dynamic, ambiguous environment and provides the nation “an adaptable and regionally attuned military capability that can rapidly respond to crises in any area of the world” and is the force of choice for “dynamic, ambiguous, and politically volatile missions that require timely solutions to complex problems” (DA 2001b, 1-4).

The Special Forces Qualification Force, as detailed in Chapter 1, can take up to two years to complete. While the time to qualify a soldier as Special Forces, and the high attrition rate that the training entails means that more recruits to SF are always in demand, the result is a force that can operate in all environments, nebulous or discrete, across the spectrum of conflict. “The maturity, core values, warrior ethos, technical and tactical competency, and flexibility inherent in every SF soldier are seldom found elsewhere” (DA 2001b, 1-4).

The six-week Special Forces Assessment and Selection (SFAS), Phase I of the SFQC, is designed to identify those soldiers with the potential to successfully complete SF training and contribute to the operational groups. The course exams whether the SF candidates possess the thirteen primary attributes which SF has designated as necessary for success; they are: physical fitness, intelligence, motivation, accountability, maturity, stability, trustworthiness, judgment, decisiveness, teamwork, influence, communicative ability, and responsibility. Of these, the Army Research Institute has determined that the strongest indicators of success are physical fitness, intelligence, and motivation. Physical fitness is the most accurate success indicator, not only because of the rigors of the SFQC, but because it is the one attribute over which the student has the most control during his

pre-SFQC training. A high degree of physical fitness implies strengths in other desired attributes (Smith, 2003).

Between June 1998 and January 2003, SFAS has accepted 30,497 applicants for SF training. Of those, 13,138 were actually selected to continue training, making the average SF selection rate 43.1 percent. From that aggregate number of candidates who fail, 2,072 were dropped for failing the PT test (prior to December, 1990, the PT test was diagnostic only and did not contribute to attrition); 7,730 voluntarily withdrew from the assessment process (the percentage of candidates voluntarily withdrawing has risen significantly over the last three years, SWCS is still trying to determine the reason); 881 candidates were involuntarily withdrawn for cheating and other infractions; and 1,568 were dropped for medical reasons (Smith, 2003). The remaining 5,108 were not selected because they were adjudged unsuitable for Special Forces for demonstrated lack of appropriate values or attributes.

Candidates selected for SF through Phase I of the SFQC later return for Phases II-VI. The pass rate for the rest of the course is about 60 percent.

The graduates of the SFQC go on to the operational groups. In addition to their regular, “peacetime” deployments to other countries as part of the combatant commanders’ regional engagement strategies, Special Forces has participated in “such missions as Operations PROVIDE PROMISE and PROVIDE HOPE in Iraq, through peacekeeping and peace enforcement in Bosnia and Haiti, to full combat operations like Operation JUST CAUSE in Panama and Operation DESERT STORM” (DA 2001b, 1-4)

### Conclusion

The OF plans on operating in a more ambiguous and dynamic environment than that for which conventional forces have traditionally been organized, trained, and equipped. Because of this environment and the expectation of an adaptive threat that will operate asymmetrically, the OF soldier and leader models require soldiers that can operate effectively given only the commanders intent within the framework of the Army values and the Warrior Ethos. Special Forces already operates in this kind of environment and against the kind of threat that the OF expects to face.

## CHAPTER 3

### RESEARCH METHODOLOGY

#### Introduction

This investigation was designed to determine what, if any, training methods and philosophies the Army can look at in Special Forces to build the adaptive, values-centered soldiers and leaders it will need in its OF. The primary research question is: Should the Army examine Special Forces training as it pertains to the inculcation of values, the development of attributes, and the fostering of the warrior ethos as it designs the soldier and leader development programs of the OF? The subordinate research questions that were developed are:

1. What are the soldier and leader development goals of the OF?
2. What are the OF employment considerations and operational environment?
3. What is the relationship between the soldier and leader development goals of the OF and the OF employment considerations and operational environment?
4. Are there similarities between future OF employment considerations and operational environment and the Special Forces current employment considerations and operational environment?
5. How important are the Army values, leadership attributes, and the warrior ethos to mission accomplishment?
6. What is the current SF program for developing the Army values, leadership attributes, and the warrior ethos?

7. Is the current SF program for developing the Army values, leadership attributes, and the warrior ethos effective?

8. What are the advantages and disadvantages of the SF training program?

#### Research Methodologies

In order to answer these questions, the author used a combination of three research methodologies: content analysis, comparison, and historical. First, the author conducted a detailed content analysis of the body of work comprising the concept of development, capabilities, and employment of the OF, to include the soldier and leader development objectives (for the list of publications currently available, see chapter 2).

Next, the author investigated works related to Army values, attributes, leader development, and the warrior ethos. The primary research asset for this is FM 22-100, which is the Army's capstone doctrine for those topics. Also, numerous historical case studies were examined in which the participants and observers attributed success or failure to the degree of adherence to values, attributes, the warrior ethos, and the efficacy of leader development. These case studies included vignettes from both conventional and special operations.

The author also investigated the current Special Forces Qualification Course. Three years spent as an instructor and commander in the Special Warfare Training Group was supplemented with interviews with the Special Warfare Center Commanding General, the Training Group Commander, various commanders and personnel within the Training Group, and psychologists in the USASOC Psychological Detachment. The requirements for producing soldiers and leaders in Special Forces, given their



employment methods and operational environment, was compared to the same criteria for the OF.

### Conclusion

The research effort for this investigation incorporated three methods: comparative analysis of the OF and Special Forces training requirements with regard to values, attributes, and the warrior ethos; a comparison of requirements envisioned for the OF and in place for Special Forces today; and a historical survey of the importance of values in a martial organization--particularly, the impact upon values upon the American military's mission.

## CHAPTER 4

### ANALYSIS

#### Introduction

The purpose of this analysis is to demonstrate that the current Special Forces training model offers a reasonable departure point for the Army as it begins developing its training framework for the OF. First the investigator will identify conceptual shortfalls in the OF planning documents as they apply to training and soldiers, especially in the moral dimension. Upon identifying the shortfalls, this investigation will then establish the requirement to fill these shortfalls and offer recommendations, drawn from Special Forces training, on how to fulfill the requirements. The purpose is not to endorse the Army's adopting wholesale the training framework and methodologies developed by Special Forces to prepare soldiers to deal adaptive enemies and ambiguous, complex environments, but instead to proffer starting points for the Army's soldier and leader development programs.

During this analysis, the author will examine and refer to the moral dimension of soldier and leader and the development of that moral dimension. FM 22-100 does not recognize or discuss the moral dimension of character. The only reference the manual makes to "morals" is in describing the Army value of courage; the manual discriminates between physical courage and moral courage, and defines moral courage as "the willingness to stand firm on your values, principles, and convictions--even when threatened" (DA 1999, 2-9). In this investigation, the author will refer to the moral

dimension as that combination of values and attributes (character) that leads to the demonstration of the warrior ethos.

Discussion of the warrior ethos is problematic. FM 22-100 does not rigorously or comprehensively define the warrior ethos. Instead, the manual loosely defines the warrior ethos and then provides numerous examples of actions demonstrating the warrior ethos. The foundation of the definition of the warrior ethos within the manual is “the refusal to accept failure” (DA 1999, 2-21). This refusal allows those soldiers who internalize the warrior ethos “the ability to forge victory out of the chaos of battle . . . overcoming fear, hunger, deprivation, and fatigue” and ultimately provides the soldier the will to achieve victory. The manual states that the process of character development does lead to a personal warrior ethos and provides linkages from the warrior ethos to the Army values. However, without a concise, discrete definition or architecture for the warrior ethos, it is difficult to discuss the developmental process that will allow the warrior ethos to matriculate within the individual soldier. The concept of the warrior and the warrior ethos is important to the discussion of training soldiers because it is the ideal. The warrior is “self-motivated and has his own agenda and a self-image of restraint; he is there not just to kill but to choose a fit form of victory. The warrior distinguishes himself from the hired killer by what he will not stoop to” (Cohen 2002, 12).

While it is beyond the scope of this investigation to develop an academically rigorous philosophical definition of the warrior ethos, a construct is needed to discuss the leader and soldier development requirements for the warrior ethos within the future OF and the process used today by Special Forces. For the purpose of this investigation, the warrior ethos is defined as: The guiding system of beliefs of one who has dedicated

himself to defending the nation and to continuing his physical, mental, and moral development in order to better prepare himself to defend the nation, in accordance with the Army values and without regard to the personal or professional cost of that dedication.

Noted shortfalls in the literature regarding the development of soldiers and leaders, of their moral dimension, or of the warrior ethos within the corporate works describing the requirements, employment, and capabilities of the OF are not meant as an indictment. The concept for the OF is revolutionary in its scope and vision and in its impetus on invalidating the historical compromises necessary in force development. In describing the operational environment, employment, and capabilities of the OF, the Army has concentrated on the physical tasks and mental skills required to operate within the OF framework; conceptually, strengthening the physical, mental, and moral strengths and capabilities of soldiers and leaders is addressed, but not detailed. The discussion below is meant to offer a starting point for developing a training program that addresses these needs.

#### An Analysis of the Objective Force Literature

The OF is an attempt to harness the perceived revolution in military affairs spawned by the technologies engendered by the information revolution. The OF literature recognizes the requirement for soldiers and leaders to be adept at managing and manipulating the numerous systems of systems to be incorporated into the OF. The literature establishes the requirement to master these incoming technologies and describes some of the different methodologies that will be used to train soldiers and leaders.

However, there is a fundamental underlying assumption that the technology will work and that the capabilities that the technology offers will be constant.

Thus, the reader is faced with an OF paradox. The OF literature espouses the need to create leaders and soldiers comfortable and effective working in ambiguous, complex environments and operations, yet maintains that the technologies incorporated into OF systems will provide perfect resolution to OF troops working in those environments and operations. All of the training concepts articulated in the OF literature focus on mastering and manipulating new technology to provide all of the necessary and relevant information needed during an operation. The problem, then, is that the soldiers are being trained to succeed because of--rather than regardless of--their equipment.

Equipment, even when not specifically targeted for destruction or suppression by the enemy, will fail. The more technology becomes the critical node for success in OF operations, the more catastrophic the effects of a technology failure. The requirement to train soldiers and leaders to find innovative, adaptable, functional solutions to the problems associated with technology failure grows in direct proportion to the reliance of the force on technology. Technology, especially information- and network-technology, may fail due to its own inherent fragility, the inherent problems of networking technologies into systems of systems, or due to the technology being targeted by the enemy.

The OF literature refers constantly to an “adaptive enemy,” that is, one that will ferret out, analyze, and then exploit weaknesses within the OF systems, technologies and capabilities. However, aside from a brief explanation of the term “adaptive enemy” the literature goes on to provide numerous vignettes in which the OF overwhelms the enemy

with little or no effective resistance on the part of the threat. The adaptive enemy portrayed in the literature is not interactive. The Army's enemies in the future will be interactive, and will "seek ways to negate our current advantages in training, technology, organization, and conventional ability" (DA 2002, 8). The speed with which the OF can operate will not be regulated by the speed of its microprocessors and networks, but by the speed at which its leaders and soldiers can adapt to and overcome technology failures, assess their situation, adapt to their new environment, and render a valid judgment as to the required course of action. An OF reliant upon technology to provide perfect, real-time situational awareness and to generate and synergize combat power is not functionally sound and reliable against an enemy who will spend his efforts and resources on disrupting or destroying mission essential technologies. The overwhelming combat power of the Army in the field will ensure that markets arise for niche technologies that will specifically target components of its battlefield systems.

Even if the enemy cannot affect the Army's systems, he can still attempt to defeat the capabilities of the systems. The OF concept will provide the commander incredible advances in command, control, computers, communications, intelligence, surveillance, and reconnaissance (C4ISR), but expectations of perfect, real-time information are unrealistic in the face of an enemy who will seek out and exploit weaknesses or gaps in C4ISR coverage. The conceptual operational vignettes presented in TRADOC PAM 525-3-90, 20 JUL 2002 draft, demonstrate the quality of firsts envisioned for the OF, with friendly forces always inside and disrupting the enemy's decision cycle. No allowances are made, however, for the enemy that purposely avoids decisive action, probes U.S. capabilities while hugging close the civilian population, and then attacks with a vicious

disregard for the Laws of Land Warfare, the lives of his own troops, or the safety of noncombatants.

The abilities of an adaptive threat to counteract U.S. technological advantages were on display during Operation Enduring Freedom in Afghanistan. While U.S. forces, in conjunction with indigenous resistance forces, initially achieved overwhelming effects by exploiting their technological overmatch and the enemy's comparative ignorance, the threat quickly adapted. Despite the focusing of all national C4ISR assets on the battlespace and the fact that they were at the disposal of local tactical commanders, the fighting became much more difficult over time.

During Operation Anaconda in March 2002, an intensive prebattle reconnaissance effort focused every available surveillance and target-acquisition system on a tiny, 100 square kilometer battlefield. Yet fewer than half of all the al Qaeda positions ultimately identified on this battlefield were discovered prior to ground contact. In fact, most fire received by U.S. Forces during Anaconda came from initially unseen, unanticipated defenders. (Biddle 2003, 36)

For the discerning "adaptable threat," then, time is on his side as he waits for the opportunity to either by-pass or defeat U.S. technologies. The use of asymmetric tactics by the threat to counter U.S. ground combat supremacy is usually couched in terms of the use of weapons of mass destruction (WMD). While WMD do pose a threat and American security personnel can assume that an adaptive enemy, with no other way to cause harm to US forces will consider them an option if he has them, asymmetry is a mind-set and mode of employment not limited to WMD. Today in Colombia, government forces--with their US advisors--are coming to grips with an adaptive enemy employing asymmetric approaches. Having emplaced effective countermeasures against previously ubiquitous car bombs and truck bombs, these forces now find themselves facing the threat of dog bombs. Armed with a hungry dog, some twine, and explosives, the insurgents in

Colombia can now ambush a well-trained, prepared security patrol with a well-placed pork chop (Robinson 2003, 38).

The information revolution enables U.S. enemies and adversaries as well as the U.S. Internet access provides a cheap, accessible communications portal that provides America's adversaries with a timely and simple communications, propaganda, and intelligence. National assets can and do try to track Internet communications against real and potential enemies, but pushing that capability down to the tactical level is not in the OF concept and is probably not practicable. The enemy will, to some extent, profit from a time lag from sensor to shooter even when such efforts are successful.

In this vein, the concept of effects-based targeting is insular; while the OF literature addresses employing lethal, nonlethal, and electromagnetic fires to achieve a specific effect, information operations is not one of the effects enumerated. This has two possibly deleterious outcomes. First, internal to the engagement or operation, soldiers and leaders may be drawn into an information ambush, where their actions are filmed or captured electronically, and the out-of-context results are beamed worldwide to an audience predisposed to believe anti-American propaganda. Second, soldiers caught in this ambush can be portrayed in such a way as to sap or erode the popular will within the U.S. Army operational doctrine recognizes the importance of information operations and the perceived role of soldiers within it when it says

The media's use of real-time technology affects public opinion, both in the US and abroad, and alters the conduct and perceived legitimacy of military operations. Now, more than ever, every soldier represents America--potentially to a global audience. (DA 2001a, chapter 1)



That the Army recognizes the importance of perception and its vulnerability to these sorts of information operations indicates the need to train soldiers who can avoid the pitfalls of negative information. While the OF literature sets forth the requirement for “media savvy” personnel, concepts for training these personnel are absent.

The training of OF soldiers and leaders cannot be limited to technical and tactical proficiency. In the battles of the future, soldiers may have their technological edge stripped from them, networks rendered useless, and communications sundered. A soldier who relies upon technology to interpret his environment and computers to do his thinking will be a liability. The OF literature realizes this and outlines the requirement for reflective, adaptable leaders and soldiers, but does not detail the training program that will create these individuals and teams. Leaders and soldiers of the OF need to internalize the Army values, develop character that will stand the test of combat, and cultivate the warrior ethos.

### Warrior Training

Military organizations throughout history and in every culture have cultivated those values necessary to imbue their soldiers with the ability to win on the battlefield. Given that battlefield means and methods evolve over time, the values adjudged to be critical to success remain relatively constant. A comparison can be made between the values of various warrior cultures to discover that the values revered by the military across time and cultures are fairly consistent. As an example, table 1 lists the Army values, the values of the Teutonic knights as articulated in the code of chivalry, and the Japanese values of the budo, the “way of the warrior” that all samurai were expected to follow:

Table 1. Comparative Martial Values

<b>Army Values</b>	<b>Chivalric Values</b>	<b>Japanese Budo Values</b>
Loyalty	Loyalty	Chugi-loyalty, fidelity, devotion
Duty	Franchise	Meiyo-honor
Respect	Courtesy	Rei-etiquette, courtesy, civility
Selfless service	Generosity	Jin-humanity, charity, benevolence
Honor	Honesty	Makoto-sincerity, honesty, reality
Integrity	Faith	Gi-justice, righteousness, integrity
Personal Courage	Courage	Yuki-courage, valor, bravery
	Prowess	

*Sources:* Army values from FM 22-100, 1999; Chivalric values from Chamberlain, n.d.; and Budo values from Maberry, 2002, 58.

As one can see, the values of these military organizations are markedly similar. Granted, the cultural interpretations of these values are sometimes extremely different; American soldiers are not wont to commit seppuku if they are guilty of, say, an honor violation. However, despite the similarities of the values of all military organizations, inculcating the US Army values into its soldiers presents some unique challenges that other armies and societies have never had to face. First, the United States possesses no actual warrior class. In cultures of the past, and even in some of today's societies, warriors came from their own caste. This meant that prospective soldiers were raised to internalize and adhere to the values of their respective military virtually from the cradle. As an all-volunteer force drawn from across society, whose members can only join after they have reached their majority, American soldiers join the Army with their personal values already formed. The Army must graft its values on top of those the soldier brings with him.

Another challenge is that soldiers do not bring with them a uniform set of civic and personal values. As an immigrant nation, Americans have no monolithic set of common values. While American society does have values that it proposes are desirable and should be universal, the differences in interpretation due to race, religion, ethnicity, and regional backgrounds can be as wildly disparate as those between the Teutonic knights and the samurai.

The degree to which soldiers' personal values are congruent to the Army values is going to be different for each recruit. Currently, formalized Army values training consists of forty hours of instruction given during basic training. After that, soldiers' character development becomes the leader's responsibility; FM 22-100 charges leaders to develop soldiers' understanding of character and character development "through classes, informal discussions, one-on-one coaching, and formal developmental counseling" (DA, 1999, E-2). Army leaders, however, do not often have the time, training, or resources to conduct the training that will help soldiers' character development, nor give them the tools they need to cultivate the warrior spirit. Values training, ethics instruction, and character development are often haphazard at best; at worst they are relegated to a values tag affixed to the soldier's identification chain and to motivational posters lining the hallways of the company area. This level of training is insufficient for soldiers to meet the challenges of an adaptive, ruthless enemy on an ambiguous, dynamic battlefield and develop ethically sound solutions.

Training the moral dimension should receive the same scrutiny and validation processes as a Training and Doctrine Command flagship course. Soldiers should have the same experience-based confidence in their moral fiber as they do in their weapons

systems. Character training should have the same efficacy on the soldier's moral dimension as a National Training Center live-fire-and-maneuver exercise has on his technical and tactical proficiency.

### Special Forces Training

The Special Forces SFQC is designed to assess, select, and train entrants into Special Forces. The training is designed to not only provide its students with the tactical and technical skills they will need in the SF operational groups, but also to train and develop their moral dimension to the point where they can be trusted to implement the commander's intent on complex operations under adverse conditions, and in accordance with the Army values. Operation Enduring Freedom is only the latest in a string of operations running from the Gulf War to Bosnia and the Balkans, Haiti, the Philippines, and Colombia in which SF soldiers, leaders, and the combatant commanders declare the training of the moral dimension of the SF soldier to be validated.

The SFQC training and development of the moral dimension is both passive and active. The passive element consists of the fact that students are expected to demonstrate the requisite moral fiber throughout the course; failure to do so can result in automatic relief. The active elements are embedded training and experiential events that are specifically crafted to develop the students' moral dimension, to require students to draw upon the moral dimension in their decision-making and subsequent actions, and to provide the student with the tools and feedback to continue progressing.

The embedded active elements are interspersed at discrete intervals in order to: (1) provide an incremental approach to development, (2) to allow the student time for reflection and study between events and for incorporating the lessons learned through

experience and feedback into his own character development, and (3) provide time for the students to decompress and recover from the ever-increasing mental, physical and emotional stress built into each event.

Stress is often considered a key component of training in military organizations. In ancient Japanese budo, highly stressful training was considered essential in forcing samurai to perform beyond the established levels of endurance. Brutal training events called *shugyo* forced the samurai to perform under incredible physical stress and emerge “purified” (Morgan 1992, 58). Thousands of years later, stressful training and austere conditioning still invoke the name of Sparta. However, stress is not employed in training the moral dimension simply because, from a historical standpoint, “that’s the way we’ve always done it.” Employing stress maximizes the students learning, increases his ability to deal with stress in the future, and points out to the institution weaknesses and flaws in the soldier’s physical, mental, and moral constitution that need to be addressed. James Stockdale was an American warrior who maintained his moral standards under incredible duress and for an extended amount of time; one could arguably say that no other American serviceman ever endured as much for as long as he did while held prisoner by the North Vietnamese. Later an educator, Stockdale wrote of moral instruction that “if the energy of will and creativity necessary to improvise under pressure can be taught, they are best learned in a stressful regime--in a crucible of pressure, whether that crucible be a classroom or a total environment” (Stockdale 1987, 226).

SF training in the moral dimension is designed to force the student to demonstrate the strength (or weakness) of his individual moral dimension in ambiguous, stressful situations, to ensure that his personal guiding principles are commensurate with service in

the Special Forces. The student often does not receive his feedback in terms of values, attributes, character, or ethics. Instead, the feedback is in terms of the student's actions, his responsiveness to and interaction with his team, and his ability to operate effectively--that is, in accordance with Army values and established norms--while under duress. This method is used instead of a more didactic approach because the soldier's values and character are useless to the organization unless they can be translated into performance.

Although the feedback that instructors provide the student is couched in terms of performance relative to the mission, the team, and the environment, many of the training scenarios are not graded or evaluated, except for the explicit purpose of providing guidance and feedback to the student. This training is designed to expose the student to unconventional and unorthodox environments and situations in which he is required to think his way through a problem. The student is given a vague commander's intent, but is not issued the usual Army task, conditions, and standard as a framework in which to solve the puzzles the school puts to him. The student is responsible himself for discerning the "right" answer and implementing it. This requires the student to gain a facility for working within his own moral dimension, forces him to refine his ethical and cognitive decision-making processes, and increases his confidence in working in ambiguous situations while under duress.

Ambiguity is used as a tool in all of the training events designed to improve the moral dimension. Training in ambiguous scenarios develops leaders and soldiers who can adapt to their environments, and that can operate within the commander's intent reliably with imperfect information. Also, constant exposure to ambiguity during training fuses the moral dimension to the soldier's cognitive processes. The moral dimension becomes a

touchstone for the soldier when trying to resolve problems with imperfect information in an uncertain environment; the soldier may not know what right looks like, but he gains an intuitive understanding of what right “feels” like. Ambiguity also increases the students’ stress levels, which, as previously discussed, increases the efficacy of the training.

Realism is a tenet of Army training, no less so in the SFQC. The embedded training provides realistic, plausible scenarios that create the “total environment” of which Admiral Stockdale wrote. Students are provided the opportunity to totally immerse in a scenario that replicates the real-world situations in which Special Forces operators may find themselves. The first time an SF soldier interfaces with an Afghan warlord, an American ambassador, or a Haitian strongman, he will know what right feels like.

The SFQC has a concrete goal for training intangibles, such as the moral dimension and the warrior ethos. That goal is to develop within the SF operator the flexibility to adapt to any environment or any threat while staying moored to the Army values. This flexibility has three categories: cognitive flexibility, social flexibility, and a flexible disposition. Cognitive flexibility is the ability to recognize and conceptualize dynamic and fluid change in the environment relationships and the ability to conceptualize related possibilities; it is the ability to adapt one’s thinking to the situation at hand, to create new mental templates to deal with new situations while still drawing from experience. Social flexibility allows the SF operator to move easily between the social strata of a given region. The classic allusion is to the SF operator who squats on his heels in native dress, drinking tea and negotiating with a local warlord out in the hinterland during lunch, then boards a helicopter, flies to the capital, performs the necessary grooming and uniform change, and attends a formal dinner at the ambassador’s

residence, dealing all day with these various personalities with equal alacrity. Social flexibility is the ability to negotiate a variety of social situations and to be able to differentiate between social situations, and match appropriate responses. Necessary attributes of social flexibility are empathy, self-monitoring, communicative competence, and social intelligence. A flexible disposition is required to make the required mental and emotional shifts required to go from humanitarian assistance, to warfighting, and back quickly and with ease. A flexible disposition is demonstrated by a tendency to seek out new experiences or enjoy novelty. A flexible disposition provides an orientation that promotes comfort with and the ability to functionally cope with uncertainty, ambiguity, and complexity in a dynamic environment. This ability is defined by such personal qualities of the leader as openness, general self-efficacy, tolerance of ambiguity, and a need for cognition. The training and preparation that SF students receive allows them the flexibility to make the kind of instantaneous transitions to which the OF aspires. The realism, ambiguity, and stress of the moral dimension training of the SFQC allows Special Forces to evaluate prospective SF soldiers in ways that the conventional Army cannot. SFQC, like other Army schools, grades and evaluates students on their ability to perform the mental and physical skills and tasks assigned by the school. To be sure, a significant portion of SFQC attrition is composed of those who cannot master the demanding technical and tactical proficiencies required for service in Special Forces. However, the attrition rates also reflect those students who are found wanting in the moral dimension. Even after, in some cases, years of training, students are deselected by the organization because they either cannot or will not meet the moral expectations of the institution. In many cases, students who have met or surpassed the standards for technical



and tactical skills deselect themselves because of their inability to or frustrations with operating in ambiguous situations. They voluntarily withdraw from the training because they either realize that they do not possess the moral attributes to adapt to the operational environment, or that they do not wish to accept the risk and responsibility for themselves, their teammates, or the mission in such an environment.

This is a cautionary note for the OF. Of all of the candidates who show up for day one of SFAS, only about 15 percent actually complete the training and move on to the operational Special Forces groups (Boykin, 2003). Special Forces has problems filling its own ranks, and recruits incessantly from the Army trying to acquire enough personnel to remain viable. This situation is acceptable for a force comprising less than 1 percent of the active duty force, but is not feasible for the entire Army as it transforms into the OF. In creating OF soldiers who can succeed in ambiguous environments and against an adaptive threat, the OF will have to take into account those who are unable or unwilling to operate under those circumstances. The SF training plan cannot be adopted wholesale into the OF training framework. The OF planners, though, need to examine the SF training of the moral dimension, cull through those events that help the OF meet its mission, and adapt them to the OF's needs and its soldiers capabilities.

SFAS, Phase I of the SFQC, does not train the moral dimension so much as evaluate and assess it to see if candidates have the raw material to become Special Forces. The six-week course is physically arduous, and the stress placed upon the students provides the assessors the opportunity to observe the decisions and actions of the candidates in a stressful environment. The candidates' stress is generated by the physicality of the course and the ambiguity of the environment. The physical stress is

dual purpose: first, it allows the assessors to evaluate the candidates' physical attributes and overall physical fitness; and second, the harsh physical demands of the course allow the assessors to examine the students' ability to follow instructions while stressed. The ambiguity of the environment arises from the fact that students have no idea of the standards of the course. Among the multitudinous tasks the students must accomplish, they have no idea what the "correct" completion of the task should be and receive no feedback on it. For the candidates, this is a direct departure from their previous experiences in the Army, where the task, conditions, and standards are published prior to the commencement of an event or test, and the feedback follows immediately on completion of the task. In SFAS, the students are not always provided with a full description of the task.

A simple example is an SFAS run. Students are assembled on one of the sandy trails near Camp Mackall and told to run until they reach an instructor that stops them. They are not told the length of the run nor the time in which the run must be completed. The student is left to solve for himself the dilemma of the pace to set for the run, whether to run hard, expecting a relatively short two-mile run, or set a slower pace for a seven- or eight-mile run. And, too, the student must ponder the implications of making the wrong choice, and either expending all of his energy too soon, or completing a short run too slowly. At no time do the students receive any feedback through verbal or nonverbal communications from their remote, unemotional assessors. If queried at any point before, during, or after an event by a student for feedback, the assessor will reply only, "do your best, candidate." Invariably, this ambiguity creates angst and stress for the candidates, who often believe, rightly or wrongly, that they are doing poorly in the selection process.

The frustration of the students allow the instructors to evaluate how the students will perform in adversity and whether they have the potential to successfully complete SF training.

At the completion of SFAS, a board composed of SF assessors, leaders, and psychologists scrutinizes and assesses the overall performance of those students who have not voluntarily withdrawn. The board reviews the candidates' files and renders a judgment on the candidates' physical, mental, emotional, and moral suitability to serve in Special Forces. The candidates' files contain not only the records of performance during SFAS, but also the candidates' military records, so that the board has a comprehensive picture of the their performance over time. Those candidates who meet the requirements are selected and slated to attend the rest of the SFQC.

At the beginning of Phase II, Small Unit Tactics and Land Navigation, students take a further battery of psychological and personality tests, in addition to those taken during SFAS. The purpose of these additional tests, however, is not for the benefit of the SF training cadre; they are to provide psychosocial feedback to the students themselves. The students are counseled on their personality profile and how it compares to their peers'. Then the students are provided with developmental guidance and counseled on problems or issues that they may have in integrating with the team structure of Special Forces. The instructors are also provided with this information, that they can assist the students' development, tailor training to the individual students' needs, and provide continuity of guidance.

This method of counseling is quite different from the transactional development generally used in Army counseling; the tests provide a scientific metric to point out the

possible weaknesses and problems that the student may have in assimilating into the force, thus assisting in team as well as strictly individual development. The OF, a concept of which is employing “teams of teams,” could apply psychosocial feedback to help integrate personal development of the moral dimension with the construction of functionally sound and reliable teams.

Following Phase II, the SF students begin the particular MOS training for their SF specialties in Phase III. At the beginning of Phase III, prior to receiving any training in negotiation, Special Operations planning, rapport building, or threat assessment, the officers participate in the Meadows Exercise. The particulars of the Meadows Exercise are considered confidential by SWCS; the exercise is an adaptive thinking exercise that provides experiential learning to the students. The exercise is conducted under rural and complex urban terrain under artificially induced stress. The students are placed into ambiguous situations, interact with professional role players, and are expected, given a task and intent, to translate values into action. The students are observed and assessed throughout the exercise--not because there is a critical task list, checklist, or grading mechanism used, but in order to provide the student with a comprehensive, critical assessment of his performance and to provide ongoing developmental feedback to the student, to include recommendations and requirements for further development.

Following the Meadows Exercise, the officer students face a commander’s board. This board makes a subjective assessment of the student’s ability to operate in ambiguous environments to make sound and reliable, values-based decisions during stressful situations. While the event is not a “go, no-go” event and the purpose of the training is experiential rather than performance oriented, egregious demonstration of a weakness in

the moral dimension or in the ability make values-based decisions and translate them into actions unilaterally, without having to “call higher” and seek guidance, can result in relief from the course.

Upon completion of the Meadows Exercise and the commander’s board, the officer students begin to receive their MOS training. Generally, the officer MOS portion of the SFQC is to make the officers masters of Special Operations planning. The SF NCOs are expected to provide the experience and specialized expertise to enhance special operations planning, but the officers are expected to be masters of the planning process, and to harness the NCOs’ experience and expertise to develop viable plans for whatever special operations mission they receive. As part of this training, the officers receive an intensive program of instruction (POI) on negotiating.

This POI was written and is executed with participation from the Federal Mediation and Conciliation Agency, the FBI hostage release negotiators, and members of various nongovernmental organizations that have experience negotiating agreements in other, usually third world, countries. The benefits of this POI extend far beyond developing baseline skills at negotiating in the officers. First, the vignette-driven role playing allows the officers to simulate negotiating with individuals who have values very different from the Army values. These exercises prepare the students to recognize, analyze, and exploit the different worldviews that their counterparts and adversaries will have once they reach the operational groups. Also, the instruction prepares the students to interact with these types of individuals and achieve results that are in both parties interest, but that manipulate the non-U.S. parties to accept means, methods, and outcomes that are commensurate with the Army values. Finally, the POI exposes the students not only to

the worldview and operating methods of possible future adversaries, but helps the students to better work with personnel in other governmental agencies and nongovernmental organizations.

The OF requires politically astute leaders who are comfortable and effective working in interagency operations. Instruction, such as the negotiation training that future SF officers receive, goes a long way toward meeting that requirement. U.S. Army leaders are not prepared for this type of endeavor by the institution until relatively late in their careers. However, in the OF, leaders at the small-unit level will have to garner these same skills in order to be effective. Executing a POI based on the SFQC officer training could be done at either the organizational or the institutional level. The POI could also be adapted to the most likely scenarios that an officer will face, based on MOS. Instituting this type of training for junior officers will help to ensure that they matriculate into officers capable of performing in the arena envisioned for the OF. Again, this training event in the SFQC is experiential, meant to enhance, rather than evaluate, the officers' performance.

Upon completion of their various Phase III training, the SFQC students come together again for Phase IV, the unconventional warfare exercise called Robin Sage. For the first time, the students have all received all of their collective and MOS-particular Special Forces training and are expected to demonstrate the capabilities and skills of SF operators. Robin Sage is a free-play exercise that will immerse the students in another of Admiral Stockdale's "total environments."

The students first cross-train each other in their SF skills, replicating the requirement of the operational SF teams to be able to overcome the loss of a specialist on

the battlefield. Then, the student teams go through unconventional warfare situational training exercises. These are vignette-based role-playing exercises, akin to the Meadows Exercise and the negotiations instruction. The purpose is to expose the enlisted students to controlled, short-term learning situations that will prepare them for the interpersonal situations they will experience during the Robin Sage exercise.

The students then spend five days planning their unconventional warfare mission, and infiltrate the fictitious country of Pineland to aid an insurgent group overthrow their oppressive, externally backed government. The students' mission is to organize, advise, equip, train and assist the various guerrilla bands in the area in overthrowing the government. While they will have to tackle the tactical and logistical challenges inherent in operating behind enemy lines with indigenous guerrillas, the greatest problems that the students will encounter and be required to solve fall within the moral dimension.

The students are constantly confronted with dilemmas that will test their ethical decision making, their interpersonal skills, and their ability to achieve values-based results. In affiliating with their local guerrilla band, the students have to appease, confront, cajole, and influence the band's guerrilla chief (G-chief). The G-chief is the undisputed master of the guerrilla force, and his cooperation is absolutely critical to completing the mission.

The number of dilemmas available for the G-chief to run against the students is almost unlimited, but some examples illuminate the challenges that the students face. The G-chief is prone to torture and then execute prisoners taken on military operations; the SF team must dissuade him of this practice, even though doing so creates many logistical and security problems for both the team and the guerrillas. The G-chief is selling drugs,

ostensibly to help fund “the movement,” but in reality is lining his own pockets. As if this is not bad enough, a local priest is sermonizing against the G-chief because of his drug trafficking, and the G-chief wants him assassinated; the team must deal with both his drug trade and his desire to bring the priest to an untimely end, without losing rapport. The G-chief plans on becoming the national leader upon successfully toppling the current government. Toward this aim, the G-chief wants the SF team to lure a rival guerrilla band and its leader into an ambush, and to annihilate them. Not only is the other guerrilla needed to help in the insurgency, but they, too, have American SF advisors.

Given the mission to succeed in winning the G-chief’s trust and confidence and fomenting a successful rebellion, the SF team must pit their own values-based decision making against the G-chief’s Machiavellian machinations all while combating an active, aggressive, adaptive threat in a physically austere environment. As well as testing their tactical and technical acumen, Robin Sage evaluates the students’ values and ensures that they can translate those values into ethically sound, mission-focused actions. Again, in this total environment training, the cadre deselect those students without a strong enough moral dimension to be effective in future, real-world operations. Again, too, students conduct a thorough self-examination of their own moral dimension, and some deselect themselves.

Total environment training of the moral dimension is rare in the Army at large. Centralized training centers such as the National Training Center and the Joint Rotation Training Center are beginning to use role players as locals and dislocated personnel, but they are primarily viewed by the units training there as distracters for the unit to overcome and are not the primary focus of the training. As the Army transforms into the



OF, it needs to look at Robin Sage to develop a means of evaluating and strengthening the moral and character development of its soldiers. The OF cannot become an intent-centric force unless its commanders have the faith and trust in their subordinates' moral dimension to handle the kind of dilemmas that one finds in Robin Sage and that the OF will find in the real world. Robin Sage provides the SF students with full-spectrum training: the students are trained and evaluated in the mental, physical, and moral dimensions. This is critical not only because of the fact that SF soldiers will have to solve like dilemmas on real-world operations, but because the confidence and flexibility that it engenders allows the SF teams to make critical mental transitions smoothly, quickly, and efficiently. They are mentally and morally prepared for a humanitarian assistance operation that suddenly sparks into a firefight.

While the information systems and technologies destined for the OF can aid leaders and soldiers in their decision making, they are useless if the soldiers are not prepared to deal with the myriad dilemmas that an adaptive threat will pose to them, or if the ambiguity of the environment prompts a response that is based on fear, ignorance, or values-neutral expediency. Robin Sage, consistently validated by the force, provides that preparation.

Those officers who successfully complete Robin Sage perform a comprehensive after- action review with the cadre, so that the institution can get their feedback on the training and preparation for the exercise and that the lessons learned through the Meadows Exercise, Phase III training, and the Robin Sage unconventional warfare train-up are synchronized, relevant, and incremental. This feedback from the students is used to ensure that the institution itself is adapting to the needs of the students and is

producing effective training in the moral dimension in every incremental training event in the course.

Having completed Robin Sage, the students go to Phase V, language school, and then go on to the final stage of their Special Forces qualification: The US Army Survival, Evasion, Resistance, and Escape (High-Risk, Level C) School (SERE).

SERE School is instructive for the OF for two reasons. First it teaches students to adhere to the Code of Conduct. Thus, for the first time, students are told, through intensive education on each article of the Code of Conduct, exactly what behavior the institution expects from them. Other than instruction on the intangible Army values, SERE teaches a prescribed way of acting when in captivity. During the course, students will be placed in scenarios or dilemmas where conduct in accordance with every article is impossible; the student must choose one and violate another. SERE forces students to resolve difficult ethical questions in what is arguably the most grueling training environment within the DoD.

The second reason that SERE merits study by the OF planners is that SERE attrition rates are significantly lower than the rest of SFQC. Despite the fact that SERE has the highest misery factor, very few students leave the course, and none fail. The only reasons that students are relieved during the course are that they quit, get injured, or commit an honor violation. SERE generally graduates about 1,000 students per year; over the past four years SERE has averaged less than 15 quitters per year. One can argue that by the time students reach Phase VI, anyone who would deselect from training is already gone. There is merit to this argument, but SERE is an Army school, and some of its

students have no affiliation whatsoever with special operations. The ratio of quitters is the same for both populations.

SERE is conducted in accordance with the acronym. In a nineteen-day course, the students first get five days of intensive survival training. Next, the students get three days of classroom evasion and escape training. Following that, the students get their classroom instruction on the application of the Code of Conduct in a captivity situation. Upon completion of all classroom training (that is, training in Camp Mackall and its environs; very little training actually takes place inside of a classroom), the students are launched on an evasion field-training exercise (FTX). At the end of the FTX, the students are ambushed by the enemy, and spend the rest of the time a captivity scenario, before being debriefed and graduated.

The survival and classroom evasion, escape, and resistance training are taught like any other hands-on, performance-oriented Army school. Once the students begin the evasion FTX, however, things change. The students are no longer under the supervision of their instructors. Other than linking up once every twenty-four hours with an instructor, who performs a health and welfare check on the students and facilitates a critique of the past twenty-four hour's events, the students are on their own.

The students have to survive and evade the enemy on their own; the school emphasizes real-world sanctions for mistakes in judgment and tactics. Such mistakes generally result in enemy contact, and the students learn that mistakes or misjudgments by the team result in extended movement to get away from the enemy. The students learn to do the right thing, not because an instructor has ordered them to, but because it is the right thing.

The students get captured and imprisoned at the close of the FTX. They are held in a mock prison camp, the Resistance Training Laboratory (RTL). Here, they will have to abide by the Code of Conduct against the efforts of ruthless captors who have no intention of following the Geneva Conventions. The environment is so severe that tests have shown that testosterone production among male students, the suppression of which is a stress indicator, falls below that of individuals who have been castrated. The students are allowed no sleep and are fed precious little--average weight loss for students, by the end of the course, is fifteen to twenty pounds.

In the RTL, as with the other phases of training, the students will have to resolve dilemmas; however, one of the teaching points for students is that there are often no “good” solutions for prisoners. Instead, the choice is usually between bad and worse. Living by the letter of the Code of Conduct is impossible, because the instructors orchestrate events in such a way as the students will be forced to choose between the precepts of the various articles. The students will learn to live by the spirit of the Code of Conduct and to use an ethical-reasoning process that forces them to prioritize and choose those courses of action that best allow them to keep the faith with their country, their comrades, and themselves. Upon their repatriation from the RTL, the students (after two hot meals and a full night’s sleep) spend an entire day receiving detailed group and individual debriefs. This is to ensure that the students have understood the training, and because the training is “error based,” to reassure the students that their performance was satisfactory, to preclude lingering doubts about individual adequacy.

One important point is that conducting training at this level of intensity is strictly a job for master trainers. SERE instructors must look and act the part of brutal, hard-core

communist captors, training students while they are “in role.” For the physical, mental, and moral safety of the student, instructors spend well over a year in intensive, comprehensive training before they run a dilemma for students. This is because every lesson taught to the students within the unique confines of the RTL is imprinted on the students. Unmaking a mistake in training a student takes an inordinate amount of time and effort. Because the training is so dangerous, the effects of a mistake so catastrophic, and the amount of instructor preparation so great, Army Regulation 350-30 states that the RTL at Camp Mackall is the only place that this level of SERE training can take place.

The benefit of SERE training is well worth the risks. In student course critiques over the last two years, fully 90 percent of SERE graduates stated that the school was a “life-changing” event and that it was the best training any of the students had ever received. The reason for this high praise from the students is that the course strengthens and develops the moral dimension of the soldiers and teaches them to adhere to a standard of moral behavior under very severe circumstances. All student lessons are hard won. As stated earlier, not all students are special operators. If a class does not fill up with assigned students, the school accepts additional students on a space-available basis. A female forklift operator in a corps warehouse is as likely to receive a space-available slot as an infantryman from the 82nd Airborne Division. This is because the training received in SERE School is efficacious for all soldiers, not just those designated as high risk of capture.

While using the Prisoner of War experience as a medium may not be advisable for the OF, the training framework and methodology should be closely studied. No other school or training event impacts the soldiers’ moral dimension like SERE. The lessons

learned in this type of training environment are life-long, and the ethical reasoning tools developed by the soldier are priceless in any situation. Also, from a psychological point of view, this type of training not only internalizes the desired standards of values-based conduct in the student, but also engenders a commitment to those standards. The SERE framework and methodology, if specifically geared toward strengthening the moral dimension and developing the warrior ethos, will provide the OF commander with soldiers who will, if humanly possible, execute the commander's intent fully within the tenets of the Army values.

Upon completion of the SFQC, students are reassigned to the operational groups. However, their part in the SFQC is not over. Students are surveyed six months after their reassignment, to ensure that the school is meeting the requirements of the operational groups and to solicit feedback from the former students as to the relevance of the SFQC training.

### Conclusion

In order to become an intent-centric force that can operate on tomorrow's battlefields, the OF cannot rely solely on technology. The OF will need soldiers who can make values-based decisions in ambiguous situations. The Army has mastered the precepts of technical and tactical training and can evolve its current training strategies to produce soldiers who can master the OF's new equipment and technologies. However, the OF will need to imbue those same soldiers with a strong moral dimension if the OF concepts are to be brought to fruition.

In examining the current regimen of Special Forces training, the OF planners can find means and methods of creating soldiers with the flexibility to apply values-based

decision making in any situation and with the ability to transition between environments as rapidly as necessity dictates. While the OF does not need the exact same soldier with the exact same skills as Special Forces, there is enough congruence to suggest that studying the Special Force training framework for developing the moral dimension and adapting that framework to the OF's particular needs is a worthwhile endeavor.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

As the Army develops the framework and methodology for the soldiers and leaders of the OF, it needs to examine Special Forces Training. The soldiers and leaders of the OF will need to be able to translate the commander's intent into values-based decisions and actions on a confusing, amorphous battlefield. Technology will not provide the silver bullet that vanquishes the fog and friction of war; soldiers need to be able to operate in stressful, ambiguous, and austere conditions without requiring a technological crutch. The Army can find some of the ways and means toward this end in current Special Forces training. While the SF training regimen does not offer a whole-cloth answer for its needs, it does provide a unique, tested, and validated framework to train soldiers to operate effectively in the type of environment envisioned for the OF.

In a nonlinear, noncontiguous battle environment, against an adaptive threat that will go to any lengths to match US vulnerabilities asymmetrically, soldiers must be able to function with confidence in an environment marked by ruthless adversaries and rapid transitions between situations calling for lethal response and measured restraint. Army soldiers and leaders must not only be technically and tactically proficient, but must also have a strengthened moral dimension that can withstand ambiguity, stress, and real-time media scrutiny. Special Forces soldiers have been employed under these same conditions for generations; their unconventional employment has mandated that their training imbue them with the ability to implement their commander's intent without detailed guidance or supervision.



The conclusions reached do not advocate that the Army adopt the SF training methodology for strengthening the moral dimension wholesale. While environments and employment considerations will be ever more similar, the conventional Army will still have definitively different missions than Special Forces. However, the SF training means and methods can allow the OF to tailor a training methodology to its own needs and missions that will enhance mission accomplishment. Due to the congruence between OF and Special Forces operating environments and between the unconstrained and adaptive threats they face, the OF will find it useful to examine the tenets of Special Forces training in order to craft its leader and soldier development plan. The training system developed, over years, to produce an intent-centric Special Forces, will pay dividends to the OF, if applied properly. OF planners need to examine the benefits of some of the principles upon which Special Forces training is built.

The most important principles are that ambiguity in the training scenario must be present; that the elements of stress need to be introduced to the training scenario, either artificially or through the nature of the event itself; that there are myriad, values-based correct training outcomes, and that a “school solution” is not desirable; discriminate between and provide for both experiential learning and proficiency training; and that comprehensive feedback must be provided after a high-stress training event in an ambiguous environment.

Technology will not provide leaders and soldiers with perfect, real-time situational awareness in the foreseeable future, if ever. OF units will be at their most vulnerable when information systems fail, especially if the adaptive threat envisioned for the future is assiduous in targeting critical nodes of information systems for suppression

or destruction. In these moments of crisis, leaders and soldiers must be comfortable in the resulting ambiguous environment and confident enough in their own capabilities to make and execute values-based decisions.

Within these ambiguous training scenarios, stress needs to be introduced along with ambiguity. However, training stress needs to be carefully modulated, and event planners need to ensure that soldiers are introduced to stress incrementally, as opposed to liberally applying unmetered stress merely for its own sake. Stress application, tailored to each event in the requisite amount to maximize leader and soldier training, is more art than science. However, the benefits of stressful training mandate that the Army apply stress judiciously in conjunction with training. Also, as the edict to “train as you will fight” is a US Army mantra, the application of stress provides the double benefit of both increasing the efficacy of training and, to some degree, inoculating soldiers and leaders against the stress they will encounter on the battlefield.

Army trainers need to move away from scripted training events in which soldiers and leaders strive to concoct or produce the “school solution.” A properly conducted training event that incorporates ambiguity and stress should provide myriad acceptable outcomes at which soldiers and leaders can arrive. If the OF truly wants to create an intent-centric force able to execute the commander’s intent in dynamic, ambiguous situations, then training events need to have a free-play dimension that precludes scripting the event or possessing an “approved” solution. While the organization conducting training should definitely have intended outcomes, soldiers need to be able to creatively interact with the training environment to arrive at these outcomes. The soldiers

can correct solutions that are at variance with organizational goals and values over time, with continued experiential development and feedback.

Army trainers and planners must realize that training methodologies can vary. Traditional Army training methodologies of task, conditions, and standards performed in accordance with a detailed, sequential checklist are superb for training technical, and to some extent, tactical skills. However, training the moral dimension involves exposing the soldier to new experiences and helping him to apply his warrior ethos and the Army values to determining a solution. Thus, trainers must differentiate between the conduct of experiential learning and the conduct of conventional skills training. This admonition does not in any way mean that conventional training should be devalued in the minds of Army trainers. To the contrary, leaders and soldiers must possess functionally sound and reliable technical and tactical skill sets in order to operate comfortably and effectively in ambiguous, dynamic environments. Experiential learning forces soldiers and leaders to rely upon these skill sets while learning to ethically navigate the operational environment.

One wry comment from a former Army officer is that leaders' exhortations to "think out of the box" can actually be translated as "produce new justifications for my existing beliefs" (Peters 2002, 201). However, if one considers that "the box" consists of the soldier, his skills, intellect, and values, it is impossible for him to think out of the box. However, through experiential learning, the Army can help the soldier to create a bigger box (Hazlett, 2003).

The final component of these training principles is that individuals must be provided with comprehensive, incisive feedback that facilitates soldier and leader learning. While these conclusions have thus far decried the use of prescriptive, dogmatic

checklists, soldiers need robust feedback in order to place values-based decisions and actions into perspective and to help them grow, nurture, and strengthen the moral dimension. Feedback ensures that the soldier can capture all of the relevant issues with which he dealt, that he has a template for reflective thinking while decompressing from the high stress and ambiguity of the training scenario, and that he has a guide for continued development in future training scenarios. Feedback also allows the leader or soldier to begin to interpret external events through the lens of organizational values and to incorporate those values into internal cognitive processes of conflict resolution and ethical reasoning.

Finally, OF planners must determine where this type of training is best conducted. Implementing this training methodology at the organizational level is beneficial because of its proximity, flexibility, and responsiveness to the needs of the commander. However, the infrastructure required to effectively administer this type of training may mandate that the training become nested in the institutional training base. Special Forces training is centralized within SWCS, and many training events and schools for those who are already Special Forces qualified are retained within SWCS. The reasons for this are primarily administration, oversight, and quality assurance.

Special Forces training requires a cadre that is comprehensively trained, vetted, and supervised. The more dynamic and stressful training becomes, the more instructor proficiency is required. Special Forces has found that while dynamism, stress, and ambiguity introduced into an open-ended training event creates substantial benefits for both the individual trainees and the organization, there is a commensurate increase in the level of capability, knowledge, and skill required of the instructors. Often, a standard

three-year tour of duty is not enough time to train and certify an instructor in both conducting these training events and in providing the student with the necessary feedback afterwards. Also, not every Special Forces-qualified soldier, even though he has received and passed all of the training, possesses the intellect and temperament to become an instructor. Special Forces has had to rely on DA civilians and contractors to supply a substantial percentage of its instructors.

Instructor training is the critical element in any training methodology that is going to inoculate soldiers against the vicissitudes of the modern battlefield. However, while instructor training does require substantial resources and time, all other dimensions of this type of training methodology are comparable to orthodox Army training. Adapting Special Forces training methodologies to the needs of the OF is supportable, and the increase in training costs and resources is far outweighed by the advantages that the OF will gain in its soldiers' and leaders' abilities to operate on the modern battlefield. Then, the Army will be able to claim that it has integrated the Special Operations culture into the culture of the Objective Force.

## REFERENCE LIST

- Applegate, Melissa. 2001. *Preparing for Asymmetry: As Seen Through the Lens of Joint Vision 2020*. Carlisle, Pennsylvania: Strategic Studies Institute.
- The Department of Behavioral Sciences and Leadership Associates. 1987. *Leadership in Organizations*. West Point, New York: United States Military Academy, August.
- Biddle, Stephen. 2003. Afghanistan and the Future of War. *Foreign Affairs* 82 (March/April), no. 2: 33-46.
- Boykin, Jerry, Major General, Commander, United States Army John F. Kennedy Special Warfare Center and School. 2003. Interview by author, 21 February, 2003. Fort Leavenworth, Kansas.
- Chamberlain, John. n.d. Of the Vertues tht Apperteyne to Chyvalry: A Modern Essay on Chivalric Virtue. Available from <http://www.chronique.com/Library/Chivalry/garick1.htm>; Internet; accessed on 02 December 2002.
- Cohen, Richard. 2002. *By the Sword*. New York: Random House.
- Department of the Army. 1999. Field Manual 22-100, *Army Leadership*. Washington, DC: Department of the Army, August.
- \_\_\_\_\_. 2001a. Field Manual 3-0, *Operations*. Washington, DC: Department of the Army.
- \_\_\_\_\_. 2001b. Field Manual 305.20, *Special Forces Operations*. Washington, DC: Department of the Army, June.
- \_\_\_\_\_. 2002. *United States Army White Paper: Concepts for the Objective Force*. Washington, DC: Department of the Army. Available from <http://www.objectiveforce.army.mil/pages/ObjectiveForceWhitePaper.pdf>.
- Deputy Chief of Staff, Intelligence, United States Army Training and Doctrine Command. 2000. *White Paper: Capturing the Operational Environment*. Fort Leavenworth, Kansas: United States Army Training and Doctrine Command, February.
- Gabriel, Richard A. 1982. *To Serve with Honor: A Treatise on Military Ethics and the Way of the Soldier*. Westport, Connecticut: Greenwood Press.
- Hanson, Victor Davis. 2001. *Carnage and Culture*. New York: Doubleday.

- Hazlett, Gary, Ph.D., United States Army Special Operations Command Psychological Detachment. 2003. Interview by author, 21 January. Telephonic interview. Fort Leavenworth, Kansas.
- Joint Chiefs of Staff. 2001. Joint publication 3.05, *Joint Special Operations*. Washington, DC: Joint Staff, December.
- Maberry, Jonathon. 2002. *Ultimate Jujutsu: Principles & Practice*. Pennsylvania: Strider Nolan Publishing, Inc.
- Morgan, Forrest E. 1992. *Living the Martial Way*. New Jersey: Barricade Books.
- Peters, Ralph, 2002. *Beyond Terror*. Pennsylvania: Stackpole Books.
- President of the United States. 2002. *The National Security Strategy*. Washington, DC: The United States Government.
- Robinson, Linda. 2003. Warrior Class. *US News & World Report*, February 10, 35-46.
- Smith, Kristian, MAJ, Commander, USAJFKSWCS Selection and Assessment. 2003. Interview by author, 17 January. Telephonic interview. Fort Leavenworth, Kansas.
- Stockdale, James. 1987. Education for Leadership and Survival: The Role of the Pressure Cooker. In *Military Ethics: Reflections on Principles: The Profession of Arms, Military Leadership, Ethical Practices, War and Morality, Educating the Citizen-Soldier*, ed. Malham Wakin, Kenneth Wenker, and James Kempf, 226-250. Washington, DC: National Defense University Press.
- United States Army Command and General Staff College Center for Army Leadership. 2002. *Objective Force Leader Development Strategy*. Fort Leavenworth, Kansas: United States Army Command and General Staff College, August.
- United States Army Training and Doctrine Command. 2002. TRADOC Pamphlet 525-3-90/O&O, The United States Army Objective Force Operational and Organizational Plan for Maneuver Unit of Action, Draft. Fort Monroe, Virginia: United States Army Training and Doctrine Command.

## INITIAL DISTRIBUTION LIST

Combined Arms Research Library  
U.S. Army Command and General Staff College  
250 Gibbon Ave.  
Fort Leavenworth, KS 66027-2314

Defense Technical Information Center/OCA  
825 John J. Kingman Rd., Suite 944  
Fort Belvoir, VA 22060-6218

LTC(Ret.) Timothy L. Challans, Ph.D.  
Combat Studies Institute  
USACGSC  
1 Reynolds Ave.  
Fort Leavenworth, KS 66027-1352

Mr. Lloyd Sherfey  
Department of Joint Military Operations  
USACGSC  
1 Reynolds Ave.  
Fort Leavenworth, KS 66027-1352

MAJ(P) William R. L. Coleman  
Department of Joint Military Operations  
USACGSC  
1 Reynolds Ave.  
Fort Leavenworth, KS 66027-1352



# CERTIFICATION FOR MMAS DISTRIBUTION STATEMENT

1. Certification Date: 6 June 2003

2. Thesis Author: MAJ Wm. Brendan Welsh

3. Thesis Title: Training Chrysalis: Applications of Special Forces Training in the Development of the Objective Force

4. Thesis Committee Members: Signatures:

LTC(Ret.) Timothy L. Challans, Ph.D. \_\_\_\_\_  
Mr. Lloyd Sherfey \_\_\_\_\_  
MAJ Mathew C. Brand \_\_\_\_\_

5. Distribution Statement: See distribution statements A-X on reverse, then circle appropriate distribution statement letter code below:

(A) B C D E F X SEE EXPLANATION OF CODES ON REVERSE

If your thesis does not fit into any of the above categories or is classified, you must coordinate with the classified section at CARL.

6. Justification: Justification is required for any distribution other than described in Distribution Statement A. All or part of a thesis may justify distribution limitation. See limitation justification statements 1-10 on reverse, then list, below, the statement(s) that applies (apply) to your thesis and corresponding chapters/sections and pages. Follow sample format shown below:

## EXAMPLE

<u>Limitation Justification Statement</u>	<u>/</u>	<u>Chapter/Section</u>	<u>/</u>	<u>Page(s)</u>
Direct Military Support (10)	/	Chapter 3	/	12
Critical Technology (3)	/	Section 4	/	31
Administrative Operational Use (7)	/	Chapter 2	/	13-32

Fill in limitation justification for your thesis below:

<u>Limitation Justification Statement</u>	<u>/</u>	<u>Chapter/Section</u>	<u>/</u>	<u>Page(s)</u>
_____	/	_____	/	_____
_____	/	_____	/	_____
_____	/	_____	/	_____
_____	/	_____	/	_____
_____	/	_____	/	_____

7. MMAS Thesis Author's Signature: \_\_\_\_\_

STATEMENT A: Approved for public release; distribution is unlimited. (Documents with this statement may be made available or sold to the general public and foreign nationals).

STATEMENT B: Distribution authorized to U.S. Government agencies only (insert reason and date ON REVERSE OF THIS FORM). Currently used reasons for imposing this statement include the following:

1. Foreign Government Information. Protection of foreign information.
2. Proprietary Information. Protection of proprietary information not owned by the U.S. Government.
3. Critical Technology. Protection and control of critical technology including technical data with potential military application.
4. Test and Evaluation. Protection of test and evaluation of commercial production or military hardware.
5. Contractor Performance Evaluation. Protection of information involving contractor performance evaluation.
6. Premature Dissemination. Protection of information involving systems or hardware from premature dissemination.
7. Administrative/Operational Use. Protection of information restricted to official use or for administrative or operational purposes.
8. Software Documentation. Protection of software documentation - release only in accordance with the provisions of DoD Instruction 7930.2.
9. Specific Authority. Protection of information required by a specific authority.
10. Direct Military Support. To protect export-controlled technical data of such military significance that release for purposes other than direct support of DoD-approved activities may jeopardize a U.S. military advantage.

STATEMENT C: Distribution authorized to U.S. Government agencies and their contractors: (REASON AND DATE). Currently most used reasons are 1, 3, 7, 8, and 9 above.

STATEMENT D: Distribution authorized to DoD and U.S. DoD contractors only; (REASON AND DATE). Currently most reasons are 1, 3, 7, 8, and 9 above.

STATEMENT E: Distribution authorized to DoD only; (REASON AND DATE). Currently most used reasons are 1, 2, 3, 4, 5, 6, 7, 8, 9, and 10.

STATEMENT F: Further dissemination only as directed by (controlling DoD office and date), or higher DoD authority. Used when the DoD originator determines that information is subject to special dissemination limitation specified by paragraph 4-505, DoD 5200.1-R.

STATEMENT X: Distribution authorized to U.S. Government agencies and private individuals of enterprises eligible to obtain export-controlled technical data in accordance with DoD Directive 5230.25; (date). Controlling DoD office is (insert).